

02/21/02

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# UTILITY PATENT APPLICATION TRANSMITTAL

Our Docket No.: 14005.01

Date: February 19, 2002

First Named Inventor: Wolfgang Daum

Title: **STENT AND METHOD FOR DRUG DELIVERY  
FROM STENTS**

Express Mail No.: EV 040212989 US

ADDRESS TO:

**Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231**

## APPLICATION ELEMENTS

1. ☒ Fee Calculation Sheet  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status
3. ☒ Specification Total Pages: 16
  - ☒ Descriptive title of the invention
  - ☒ Cross References to Related Applications
  - ☐ Statement Regarding Fed. Sponsored R&D
  - ☐ Reference to Microfiche Appendix
  - ☒ Background of the Invention
  - ☒ Brief Summary of the Invention
  - ☒ Brief Description of the Drawings
  - ☒ Detailed Description
  - ☒ Claims
  - ☒ Abstract of the Disclosure
4. ☒ Drawings (35 U.S.C. 113) Total Sheets: 2
5. ☒ Oath or Declaration Total Pages: 3
  - a. ☒ Newly Executed (original or copy)
  - b. ☐ Copy from a prior application (37 C.F.R. 1.63(d))  
(for continuation/divisional with Box 19 completed)
    - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting  
inventor(s) named in the prior application  
(see 37 C.F.R. 1.63(d)(2) and 1.33(b))
6. ☒ Application Data Sheet (37 C.F.R. 1.76)

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(If applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. ☐ Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Certification Under 35 U.S.C. 122(b)(2)(B)(i)
10. ☒ Assignment Papers (cover sheet & document(s))
11. ☒ 37 C.F.R. 3.73(b) Submission
12. ☒ Power of Attorney
13. ☐ English Translation Document (if applicable)
14. ☐ Information Disclosure Statement  
(with Copies of Citations as necessary)
15. ☐ Preliminary Amendment Total Pages:
16. ☒ Return Receipt Postcard  
(Should be specifically itemized)
17. ☐ Certified Copy of Priority document(s)  
(If foreign priority is claimed)
18. ☒ Other: Check No. 903783 in the amount of \$647.00

19. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:

☐ Continuation ☐ Division ☐ Continuation-in-part (CIP) of prior Application No.:

For continuation or divisional applications: The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference.

## CORRESPONDENCE ADDRESS

ATTY NAME	Min (Amy) S. Xu Reg. No. 39,536		SIGNATURE: <i>Min S. Xu</i>	DATE: February 19, 2002
ADDRESS	DORSEY & WHITNEY LLP Suite 1500 50 South Sixth Street Minneapolis, MN 55402-1498		Customer Number: 25763	
TELEPHONE	612-752-7367			
FAX	612-340-8856			

# APPLICATION FEE TRANSMITTAL SHEET (FOR FY 2002)

Complete if Known

Application No.	Not Yet Known
Filing Date	Herewith
First Named Inventor	Wolfgang Daum
Group Art Unit	Not Yet Known
Examiner Name	Not Yet Known
Atty. Docket Number	14005.01

## METHOD OF PAYMENT (Check One)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account No.: 04-1420

Deposit Account Name: DORSEY & WHITNEY LLP

☒ Charge any additional fee required under 37 C.F.R. 1.16 and 1.17

☒ Applicant claims small entity status (see 37 C.F.R. 1.27)

2. ☒ Check Enclosed

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
114	160	214	80	<input type="checkbox"/> Prov. Filing Fee	
101	740	201	370	<input checked="" type="checkbox"/> Utility Filing Fee	
106	330	206	165	<input type="checkbox"/> Design Filing Fee	
108	740	208	370	<input type="checkbox"/> Reissue Filing Fee	
Subtotal (1)				\$370.00	

### 2. EXTRA CLAIM FEES

	Number Claims	Prior	Extra	Fee from Below*	Fee Paid
Total	23	-	20 = 3	x \$9.00	= \$27.00
Indep.	8	-	3 = 5	x \$42.00	= \$210.00
Multiple Dependent Claims				x	=
Subtotal (2)					\$237.00

Large Entity		Small Entity		Fee Description	
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent Claim	
109	84	209	42	Reissue independent claims over original patent	
110	18	210	9	Reissue claims in excess of 20 and over original patent	

## FEE CALCULATION (Continued)

### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
105	130	205	65	Surcharge - Late nonprovisional filing fee or oath	
126	180	226	180	Submission of IDS	
581	40	81	40	Recording each patent assignment per property (times number of properties)	\$40.00
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	280	980	Extension for reply within fifth month	
146	740	246	370	Submission After Final 1.129	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
148	110	248	55	Terminal Disclaimer Fee	
122	130	222	130	Petitions to the Commissioner	
123	50	223	50	Petitions related to provisional applications	
142	1,280	242	640	Utility/Reissue Issue Fee (including advance copies)	
143	460	243	230	Design Issue Fee (inc. advance copies)	
179	740	279	370	Request for Continued Examination (RCE)	
195	300	295	300	Publication fee for early, voluntary, or normal publication	
196	300	296	300	Publication fee for re-publication	
140	110	240	55	Petition to Revive - unavoidable	
141	1,280	241	640	Petition to Revive - unintentional	
OTHER FEE (specify)					
Subtotal (3)					\$40.00
Total Amount of Payment:					\$647.00

## Submitted by:

Name: Min (Amy) S. Xu

Reg. No.: 39,536

Telephone: (612) 752-7367

Signature: 

Date: February 19, 2002

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**Applicant(s): **Wolfgang Daum et al.**

Docket No.

**14005.01**Serial No.  
**Not Yet Known**Filing Date  
**Herewith**Examiner  
**Not Yet Known**Group Art Unit  
**Not Yet Known**Invention: **STENT AND METHOD FOR DRUG DELIVERY FROM STENTS**

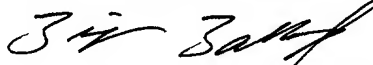
I hereby certify that this Spec w/Cover (17); Frml Drwgs (2); Appln Data (2); Check #903783; Decl (3); POA (1);  
Assignment (3); sub 3.73(b)(1) (Identify type of correspondence) Fee Trans (1); Appln Trans (1)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under  
37 CFR 1.10 in an envelope addressed to: The Commissioner of Patents and Trademarks, Washington, D.C.

20231-0001 on 19 February 2002  
(Date)

**Brain Ballard**

(Typed or Printed Name of Person Mailing Correspondence)



(Signature of Person Mailing Correspondence)

**EV 040212989**

("Express Mail" Mailing Label Number)

**Note: Each paper must have its own certificate of mailing.**

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named Inventor:	Wolfgang Daum	
Appln. No.:	Not Yet Known	
Filing Date:	Herewith	Examiner: Not Yet Known
Title:	<b>STENT AND METHOD FOR DRUG DELIVERY FROM STENTS</b>	Group Art Unit: Not Yet Known

## SUBMISSION UNDER 37 C.F.R. § 3.73(b)

Commissioner for Patents  
Washington, D.C. 20231

Sir:

ReStent Therapeutics, Inc., a Delaware corporation, is an owner of the patent application identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application identified above, a copy of which is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: To:  
The document was recorded in the U.S. Patent and Trademark Office at Reel  
, Frame , or a copy of which is attached.

2. From: To:  
The document was recorded in the U.S. Patent and Trademark Office at Reel  
, Frame , or a copy of which is attached.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of **ReStent Therapeutics, Inc.**

Dated: Febr. 2, 2002

Signature: 

Name: Wolfgang Daum  
Title: CEO